

DEPARTMENT OF THE INTERIOR
BUREAU OF INDIAN AFFAIRS

PROGRAM MONITORING FORMAT

REVISED: October 2003

PURPOSE AND STRATEGY

OFFICIAL MONITORING VISIT

- I. **Entrance Interview:** Meet with Tribal Chairperson or authorized representative to explain reason for the visit and items to be reviewed.
 - A. **Interview Contractor:** Determine compliance with contract terms and conditions, and financial accountability.
 - (1) **Monitoring Procedure:**
 - (a) **Visitation:** Visit each activity while in session.
 - (b) **Personnel Interviewed:** Interview employees, ask about their role or function within the particular program and the organization as a whole. What objectives are they working towards, their general knowledge of the organizational structure, and the particular contract being reviewed if they are program personnel.
 - (2) **Monitoring Checklist:** Complete the checklist with Contractor representatives and program personnel.
 - (a) **Discussion Items:** Discuss each item and explain any problems encountered.
 - (b) **Findings, Comments and Recommendations:** List these as they occur.
- II. **Exit Interview:** Meet with Tribal Chairperson or authorized representative prior to departure.
 - A. **Summarize Findings:** Discuss items reviewed during the visit. Be specific regarding any problems or weaknesses discovered during the visit.
 - B. **Comments and Recommendations:** Offer technical assistance to resolve the problems or weaknesses.
- III. **Trip Report:** Upon return to office complete the Trip Report and the Official Monitoring Report. Provide a copy of the Official Monitoring Report to the Tribe.

OFFICIAL MONITORING REPORT

Contractor Name:

Address: _____

Telephone No.

Contract No. _____

Mature: ☐ Yes ☐ No

Program(s):

Date of Official Monitoring Visit:

Name(s) and Title(s) of Monitoring Team:

Awarding Official's Technical Representative:

AOTR

Title

SAOTR

Title

Contractor's Representative:

Name

Title

Contract Term:

Contract Administration:

- A. Does the Tribal Program Director have a complete copy of the contractual agreement?

☐ Yes ☐ No

If no, provide a copy.

- B. Are all expenditures under the contract properly documented and supported?

☐ Yes ☐ No

Comments:

- C. Is the Tribal Program Director involved in the vouchering, financial reporting, process for this contract?

☐ Yes ☐ No

Comments:

- D. Does the Tribal Program Director maintain a cuff account system?

☐ Yes ☐ No

Comments:

E. Finance Management:

(1) Finance Status

- (a) Total Contract Amount \$
- (b) Total expended (year-to-date) \$
- (c) Balance Remaining \$

(2) Total Amount Paid to Contractor \$

(3) Payment Methodology

- ☐ Lump Sum Advance
- ☐ Semi-Annual Advance
- ☐ Quarterly Advance
- ☐ Other - Explain:

(4) Does the Tribal Program maintain financial records?

☐ Yes ☐ No

Comments:

Comments on Finance Management for this Program:

Contract Personnel:

A. How many people are employed under this contract?

B. List each position and annual wage:

<u>Position</u>	<u>Wage</u>

C. Is there a position description available for each position?

☐ Yes ☐ No

If yes, obtain a copy.

If no, comment:

D. Administration

Are payroll checks supported by time sheets, etc.?

☐ Yes ☐ No

Comments:

Property Management:

- A. Has property been provided for, and/or acquired under, this contract?
☐ Yes ☐ No
- B. Are property records being maintained?
☐ Yes ☐ No
- C. Is there any property under this program with a value of, or in excess of, \$ 5,000.00?
☐ Yes ☐ No
- D. Has property (equipment) with a value of, or in excess of, \$ 5,000.00 been tagged?
☐ Yes ☐ No
- E. Was property acquired in accordance with the Procurement Management System?
☐ Yes ☐ No
- F. Is property being maintained in accordance with the Property Management System?
☐ Yes ☐ No
- G. Is there an up-to-date property inventory listing?
☐ Yes ☐ No

If yes, obtain a copy of the Property Inventory listing.

Comments:

Contract Scope:

- A. Is the Contractor performing all required functions of the contract in accordance with the Statement of Work (SOW)?

☐ Yes ☐ No

Comments:

- B. Has the Contractor provided the necessary personnel, as indicated in the agreement, to provide the required services?

☐ Yes ☐ No

Comments:

- C. Are services being provided in accordance with the agreement?

☐ Yes ☐ No

If yes, evaluate services being provided:

If no, provide recommendations on how to correct the problem and indicate what services are being provided:

D. Has the contractor submitted all reports required under the agreement?

☐ Yes ☐ No

If yes, indicate what reports have been submitted and evaluate the reports:

If no, indicate what reports have not been submitted and indicate the corrective actions taken:

Travel:

A. Is travel an allowable item under this contract?

☐ Yes ☐ No

If yes, who is authorized to travel under this contract?

B. Are expenditures for travel properly documented showing expenditures, purpose of travel, who was the traveler(s), and what was accomplished?

☐ Yes ☐ No

Comments:

C. Is travel reconciled in accordance with established tribal procedures?

☐ Yes ☐ No

Comments:

Records Management:

- A. Identify Program Records requirements.
- B. Are Program Records being maintained in accord with records maintenance requirements in the contract?

☐ Yes ☐ No

Comments:

Comments and/or Recommendations:

